

ROCKY FLATS
ENVIRONMENTAL TECHNOLOGY SITE
PRO-767-WIPP-001
REVISION 01
WASTE RECORDS CENTER PROCESSING

Responsible K-H Organization: Records, Documents & Administrative Services Effective Date: 11/17/00

Approved By: Manager Records Documents & Admin Services / 11/13/00
 Title Date

Kim B. Smart / [Signature]
 Print Name Approval Signature
N/A

Print Name of Responsible Manager (N/A if RM is Approval Authority)

The Responsible Manager Has Determined The Following Organizations' Review Is Required.
 Review Documentation Is Contained In The Document History File:

TRU Waste Project	Records Management
Project Manager	Kaiser-Hill Quality Assurance
PQAO	
PDCO	

IMPORTANT NOTES

ISR Review is not required
 SES Review not required

Periodic Review frequency:
 4 years from effective date

REVIEWED FOR CLASSIFICATION/ UCNI (If Required)
 By: [Signature]
 Date: 11-09-00

CONTROLLED DOCUMENT
 (if numbered in red ink black numbering indicates information only copy)

18
 Copy Number



ADMIN RECORD

SW-A-004191

1/20
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LIST OF EFFECTIVE PAGES

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1.0 PURPOSE

This procedure describes the responsibilities and methods for the receipt, review, indexing, filing, retention, and compilation of Quality Assurance (QA) records supporting the Transuranic (TRU) Waste Program at the Rocky Flats Environmental Technology Site (the Site). This procedure complies with the following document control requirements:

- CAO-94-1012, U.S. Department of Energy, Quality Assurance Program Description
- DOE/WIPP-069, Waste Acceptance Criteria for the Waste Isolation Pilot Plant, April 1996
- DOE/WIPP 91-005, WIPP RCRA Part B Permit Application
- 95-QAPjP-0050, Rocky Flats Environmental Technology Site RFETS TRU Waste Characterization Quality Assurance Project Plan
- Site Quality Assurance Manual (SQA Manual)
- Waste Isolation Pilot Plant Hazardous Waste Permit Attachment B, Waste Analysis Plan (WAP)

2.0 SCOPE

This procedure establishes the requirements and responsibilities for the receipt, review, indexing, filing, retention, and compilation by the TRU Waste Program Waste Isolation Pilot Plant (WIPP) Quality Assurance records by the Project Data Control Officer (PDCO) or Records Management Designee in accordance with the following documents:

- Waste Isolation Pilot Plant Hazardous Waste Permit Attachment B, Waste Analysis Plan (WAP)
- 95-QAPjP-0050, Rocky Flats Environmental Technology Site (RFETS) TRU Waste Characterization Program Quality Assurance Project Plan
- 1-V41-RM-001, Records Management Guidance for Records Sources
- 1-PRO-077-WIPP-005, Management of Waste Information Prior to Transmittal to the Waste Records Center

Some records generated as the result of TRU Waste Program activities are maintained by other Site records systems. For example, records on Site level procedures are

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maintained by the Site Document Control Organization. The PDCO is the central point of knowledge for WIPP program files. This procedure does not apply to electronic records.

The Waste Records Center is located in Building 850, a modern aluminum clad steel and concrete office building constructed and maintained to minimize the risk of damage or destruction from natural disasters and environmental conditions such as high and low temperatures and humidity. The roof and floors have drainage control and the floor is sealed to provide a hard wear surface, which minimizes concrete dusting. Temperature controlled ventilation is provided by a filtered forced air system. The facility is provided with an automatic fire suppression system. The facility includes a staff work area with individual workstations, a microfilming area, a customer service area, and a file storage area with one-hour fire rated cabinets and open shelving. Access to the facility is controlled by key and cipher locked doors.

The Site Records Management Vault in Building 441, Room 142 is an additional storage facility for waste records. This facility is used to store waste records prior to microfilming and the master copies of microfilm. Room 142 is an NQA-1 single storage vault, approved for storage of classified records. The facility is appropriately protected with fire detection and suppression and intrusion alarm systems. Access is restricted to individuals holding appropriate security clearance.

QUALITY ASSURANCE RECORDS

NOTE : *Groups 1-9 are designated as Lifetime Records*
 Groups 10-25 are designated as Non-Permanent Records

WIPP QA Records with Associated Classifications for Waste Characterization QA Records

- Group 1** Field sampling data forms
 - Group 2** Field and laboratory chain-of-custody forms
 - Group 3** Test facility and laboratory analytical data reports
 - Group 4** Summary data packages
 - Group 5** Sampling Plans
 - Group 6** Data reduction, validation, and reporting documentation
 - Group 7** Acceptable knowledge documentation
 - Group 8** Data reconciliation report
 - Group 9** Waste Stream Profile Form
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- Group 10** Nonconformance documentation
- Group 11** Variance documentation
- Group 12** Assessment documentation
- Group 13** Gas canister tags
- Group 14** Methods performance documentation
- Group 15** Performance Demonstration Program documentation
- Group 16** Sampling equipment certifications
- Group 17** Calculations and related software documentation
 - Software Quality Assurance Plan
 - Testing documentation including Verification and Validation
 - Operational/User instructions
 - Complete backup of software and data files if not already backed up with Site systems (Information Resources)
- Group 18** Training/qualification documentation
 - Indoctrination and Other Classroom Training
 - Copy of presentation materials (handouts, copies of overhead viewgraphs, instructor and student guides, etc.)
 - Original examination results of trainees (if required)
 - Original Attendance Roster (if no examination)
 - Required Readings
 - Copy of reading material (instruction, procedure, order, etc.)
 - Original Read/Sign Roster
 - Briefings
 - Copy of presentation material (outline, overhead viewgraphs, etc.)
 - Original Attendance Roster
 - OJT, Performance Demonstration, Hands-on/Skills Training
 - Description of task, procedure, or step being trained or graded
 - Completion Form of Statement (with original trainer signature)
 - QD or Position, Task or Procedure Qualification
 - Document (with original trainee, trainer, and qualification authority signatures)
 - National Certification
 - Copy of dated letter or certificate (with name and employee number of candidate)
- Group 19** QAPjPs (Site) documentation (all revisions)
- Group 20** Calibration documentation
- Group 21** Analytical raw data

- Group 22** Procurement documentation
- Group 23** QA procedures (all revisions)
- Group 24** Technical implementing procedures (all revisions)
- Group 25** Audio/Video Recording (RTR, Visual, etc.)

3.0 DEFINITIONS AND ACRONYMS

3.1 Definitions

Authentication. The act of attesting that the information contained within a document is accurate, complete, and appropriate for the work accomplished. Authentication of both QA and non-QA records is accomplished by one of the following methods:

- Stamping, initialing or signing, and dating the document.
- Attaching or adding a written statement to the document by the responsible individual or organization.
- Issuing a document that is clearly identified as a statement by the reporting individual or organization.

Indexing System. The data entered into the Waste Records Center Database used for retrieval of quality assurance records transmitted to the Waste Records Center.

Filing System. Prior to July 1999 files were arranged numerically by the bar code number. That system is being transitioned into one where the records are filed by the series, as identified in the RIDS, and thereunder by document number. (i.e. Data packages are filed by type of data package and thereunder by the data package number.)

Lifetime Records. Lifetime Records must be maintained for the life of the waste characterization program at a participating site plus six years, then offered to the permittees for permanent archiving of these records in the appropriate form, or transferred to the appropriate Federal Records Center in accordance with NARA requirements.

Non-Permanent Records. Non-permanent records must be maintained for ten years from the date of record generation and then dispositioned according to their approved Records Inventory and Disposition Schedule (RIDS) and in accordance with NARA requirements.

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Quality Assurance (QA) Record. Those records demonstrating the quality of items or activities or providing evidence that the activity was accomplished in accordance with established requirements. QA records may be originals or reproduced copies. QA records may be identified and maintained as lifetime, permanent, or non-permanent.

Record. Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results of work. Records may be paper copies, laboratory notebooks, photographs, microfilm, radiographic film, or electronic or optical media.

Record Custodian. Any individual working at the Site or a subcontractor who received Site records from internal or external sources. An individual may be designated the Records Custodian for an organization.

Records Source. Any individual who creates or receives WIPP records from internal or external sources.

Sample Number. A unique identification number assigned to each sample and used to identify that sample in reports containing information or test results derived from that sample.

Waste Isolation Pilot Plant (WIPP). A federal repository for TRU waste located in New Mexico.

Waste Package ID. A unique fifteen-digit identification number assigned to each individual waste package for tracking purposes. The first character is an alphabetical character designating a drum or box. The next five digits are the waste package number, the next four digits are the waste package prefix, and the remaining five digits are the control number for the prefix located on the bar code attached to the waste package.

WIPP Data Entry Screen. The index screen used to input records information into the Waste Records Center Database used for filing and retrieval of QA records for the Transuranic Waste Program WIPP Quality Assurance records.

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WIPP Records Transmittal/Receiving Form (WRT/RF). A Performance Assurance Records Management form for tracking QA records within the WIPP project.

3.2 Acronyms

CAO	Carlsbad Area Office
NARA	National Archives and Records Administration
NMED	New Mexico Environmental Department
PDCO	Project Data Control Officer/Waste Records Center Manager
PM	Project Manager
PQAO	Project Quality Assurance Officer
QA	Quality Assurance
QAPjP	Quality Assurance Project Plan
RFETS	Rocky Flats Environmental Technology Site (the Site)
RIDS	Records Inventory and Disposition Schedule
SQA	Site Quality Assurance
TRU	Transuranic
TWCP	TRU Waste Characterization Program
WAP	Waste Isolation Pilot Plant Hazardous Waste Permit Attachment B, Waste Analysis Plan
WIPP	Waste Isolation Pilot Plant
WRT/RF	WIPP Records Transmittal/Receiving Form

4.0 RESPONSIBILITIES

4.1 Project Data Control Officer (PDCO) or Records Management Designee

Supports the Project Quality Assurance Officer (PQAO) in TRU Waste Program quality surveillance, data coordination, and compilation of QA records.

Verifies that the project QA records received are legible and complete for compilation into a data package by using a Quality Assurance Record Review Checklist.

Maintains an indexed QA record filing system to assure accurate filing and ready retrieval of project QA records.

Compiles data packages for the PQAO and the Project Manager (PM) for project level validation, review, and approval.

Accepts and processes QA records into the Waste Records Center.

Ensures that authenticated/validated QA records are imaged for dual storage, as appropriate, or are stored in an NQA-1 approved single storage facility.

Ensures that all QA records which fall into the UCNI Classification are stored in locked cabinets.

4.2 Project Manager (PM)

Approves data packages validated by the PQAO.

Transmits approved data packages to the PDCO or Records Management Designee.

5.0 INSTRUCTIONS: PDCO/WRC MANAGER OR WRC CENTER STAFF

The following forms referred to in this instruction are provided to program participants by the Project Data Control Officer (PDCO):

- WIPP Records Transmittal/Receiving Form (WRT/RF), Appendix 1.
- Quality Assurance Record Review Checklist, Appendix 2.

5.1 Records Receipt Process

NOTE: *The packages received from Record Sources are considered "In Process" until the packages receive their final approval from the Project Manager (PM). Once approvals are received, the packages are considered QA records and are imaged for dual storage or stored in an NQA-1 approved single storage facility until dispositioning instructions are received from the CAO.*

[1] Receive WIPP record(s) from the generating organizations.

[2] Verify that the record(s) received are correctly listed and authenticated on the WRT/RF.

- [3] IF the records are authenticated and correctly listed on the WRT/RF,
THEN:

[A] Stamp the first page of the record with a "Date Received" stamp.

[B] Proceed to Section 5.2, Records Review and Processing.

- [4] IF the records are incorrectly listed on the WRT/RF,
AND/OR the records do not pass the criteria stated in the Quality Assurance
Records Review Checklist,

THEN:

[A] Complete the following sections of the WRT/RF:

- Record(s) Rejected By
- Reason for Rejection

[B] Enter the following information into the Waste Records Center Database

- Bar Code Number
- Date Information
- Document Number
- RIDS Number
- Indexing Information

[C] Contact the record originator for corrective action.

[D] File record in the drawer labeled "Rejected Records" tracking purposes.

[E] Follow up, as appropriate, to assure that corrections are made.

5.2 Records Review and Processing

- [1] IF records are received that require documented validation by the PQAQ, (refer
to Section 5.5, Project Level Validation of QA Record Packages),

THEN:

[A] Review the records by using the Quality Assurance Records Review
Checklist.

[B] **WHEN** the review has been completed,
THEN add the checklist to each record package.

[2] **IF** records are received that do not require validation (refer to Section 5.5,
Project Level Validation of QA Record Packages),
THEN:

[A] Review the records by using the criteria of the Quality Assurance Records
Review Checklist.

[3] **IF** the records are acceptable,
THEN:

[A] Complete the "Records Accepted By" section of the WRT/RF and include
the bar code information adjacent to each record.

[B] Send a copy of the WRT/RF to the Records Source.

[C] Enter the following information into the Waste Records Center Database

- Bar Code Number
- Document Number
- Date Information
- RIDS Number
- Indexing Information

[D] Write the bar code number in indelible ink on the record folder.

[E] Place a copy of the transmittal in the front of the package

[F] Secure the record in an envelope-type folder.

[4] **IF** the records are unacceptable,
THEN complete Section 5.1, Records Receipt Process, Step [4].

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5.3 Filing of QA Records

- [1] File correct records in fire-rated cabinets while processing, or microfilm for dual storage or store in an NQA-1 single storage facility.
- [2] **IF** the records are incorrect,
THEN file the record in the drawer marked "Rejected Records" for tracking purposed.
- [3] Follow up to ensure that corrections are made.

5.4 Check Out/In of QA Records

NOTE 1: *The PDCO/PQAO maintains a list of individuals who are permitted to access the WIPP QA records.*

NOTE 2: *QA records which require review or validation may be removed from the WIPP Project File by authorized personnel only.*

- [1] **WHEN** a record is removed from the Waste Records Center,
THEN complete the following information on the out card:
 - The bar code or document number of the file removed.
 - The name of the person removing the file.
 - The date the file was removed.
- [2] Place the out card in the file location of the removed record.
- [3] Enter the record check out information into the Waste Records Center Database.
- [4] **WHEN** a record is replaced in the file,
THEN:
 - [A] Remove the out card.
 - [B] Enter the record return information into the Waste Records Center Database.

5.5 Project Level Validation of QA Record Packages

NOTE *Examples of record packages for characterization tasks are Real-Time Radiography (RTR), Nondestructive Assay (NDA), Sample Collection, Visual Examination, and Sample Analysis. Refer to PRO-940-WIPP-010, WIPP TRU Waste Characterization Project Level Data Review and Reporting.*

- [1] **WHEN** a completed record package for each characterization task is ready for validation,
THEN deliver the package to the PQAQ.

WHEN validation has occurred,
THEN the Project Office will add the Project Level Validation Report to each QA record and will return it to the WRC.
- [2] Check the record into the Waste Records Center by following Section 5.4, Check Out of QA Records, Step [4][A].

5.6 Microfilming of QA Records

- [1] Prepare report from Waste Records Center Database of QA records to be retrieved for microfilming including, at a minimum, the following fields of information: Barcode Number and Document Number.
- [2] Retrieve the files listed on the report.
- [3] Transfer files to microfilming and film in accordance with 4-M21-IMS-4002, Control of Micrographics.

5.7 Disposition of QA Record Files

NOTE 1: *QA records are not dispositioned from the program files until the Final Data Report is completed and the records schedule is approved by the National Archives and Records Administration (NARA).*

NOTE 2: *Records **SHALL** be shipped to the Permittees in accordance with their instructions, or transferred to the appropriate Federal Records Center in accordance with the requirements of the National Archives and Records Administration (NARA) and 36 CFR, chapter 12 as implemented by 1-V41-RM-001, Records Management Guidance for Records Sources.*

- [1] Prepare a Records Inventory and Disposition Schedule (RIDS) in accordance with 1-PRO-077-WIPP-005, Management of Waste Information Prior to Transmittal to the Waste Records Center.
- [2] Provide a copy of the RIDS list to the PQAO and PM for review and approval before dispositioning QA records.

5.8 Record Storage and Retention

- [1] Ensure that only authorized program personnel access the QA record files.
- [2] Ensure that the following activities are completed:
 - [A] All completed QA records are stored in access-controlled file cabinets with a one-hour-minimum fire rating.
 - [B] All QA records are imaged to fulfill dual storage requirements or are stored in an approved NQA-1 single storage facility.
 - [C] Lists of personnel authorized to access the records are posted at the file storage location.
 - [D] Special processed or one-of-a-kind records are stored in an NQA-1 single-storage facility to preclude damage from moisture, temperature, rodent infestation, excessive light, and electromagnetic fields.
 - [E] Copies of QA records are stamped "Copy."
 - [F] All QA records maintained by the PDCO or Records Management Designee are retained in accordance with CAO retention guidelines.
 - [G] A backup tape of the Waste Records Center Database is made nightly in the Site's central computing facility.

5.9 Correction to Previously Processed Records and Record Packages

[1] **WHEN** corrected record packages have been received,

THEN:

- [A] Retrieve the original record index information from the database.
- [B] Review the corrected record package by referring to Section 5.1, Records Receipt Process.
- [C] **WHEN** the review is completed and the records are accepted,
THEN sign and date the WRT/RF, and send a copy to the originator.
- [D] Retrieve the original record package from the files, and place the corrected pages behind the original pages of the package.
- [E] Enter a note into the Comment field of the database stating, "Package Corrected on mm/dd/yyyy (enter date), pages #,#,# (enter pages affected)."
- [F] Change the page count in the database.
- [G] Determine if the record has been previously filmed.
 - [1] If the record has been filmed then place a copy of the transmittal in the front of the package and handle the filming of the change in accordance with 4-M21-1MS-4002.
 - [2] If the record has not been previously filmed place a copy of the transmittal in the front of the package and re-file.

6.0 RECORDS PROCESSING INSTRUCTIONS

The following documents are initiated, processed or maintained as a result of this procedure and shall be processed as follows:

Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
WIPP Records Transmittal/Receiving Form (WRT/RF) Quality Assurance Record Review Checklist Microfilm Inspection Report	WIPP Quality Assurance Record	Completed (authenticated) WIPP QA records SHALL be stored in one-hour fire-rated cabinets for a period not to exceed six (6) months.	File completed forms with the WIPP QA record to which they relate. Microfilm the Microfilm Inspection Report.
Copies of WIPP Records Transmittal/Receiving Form (WRT/RF) Records to be Retrieved for Microfilming Report	Non-record	None	Destroy when no longer needed.

7.0 REFERENCES

CAO-94-1012, U. S. Department of Energy, Quality Assurance Program Document

DOE/WIPP-069, Waste Acceptance Criteria for the Waste Isolation Pilot Plant,
April 1996

DOE/WIPP 91-005, WIPP RCRA, Part B Permit Application

Site Quality Assurance Manual

1-PRO-O77-WIPP-005, Management of Waste Information Prior to Transmittal to the
Waste Records Center

1-V41-RM-001, Records Management Guidance for Records Sources

4-M21-IMS-4002, Control of Micrographics

95-QAPjP-0050, Rocky Flats Environmental Technology Site (RFETS) TRU Waste
Characterization Quality Assurance Project Plan

PRO-940-WIPP-010, WIPP TRU Waste Characterization Project Level Data Review
and Reporting

Waste Isolation Pilot Plant Hazardous Waste Permit Attachment B, Waste Analysis
Plan (WAP)

APPENDIX 1
Page 1 of 1

BARCODE NUMBER

Date:

5. Building:

[illegible]

Records Rejected: ☐ Signature: _____ Date: _____

Reason for Rejection: _____

APPENDIX 2
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QUALITY ASSURANCE RECORD REVIEW CHECKLIST

QUALITY ASSURANCE RECORD REVIEW CHECKLIST				
ITEM	CRITERIA	MEETS CRITERIA		REMARKS
1.	Legible data is contained within the record/data package. The data is readable and is of reproducible quality.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
2.	The data and signatures are recorded clearly.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
3.	The record identifies container numbers, drum numbers and/or the activities.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
4.	The record is in good physical condition, is not torn, no information is obliterated. The condition is acceptable	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
5.	The record is prepared with reproducible ink.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
6.	The record is paginated and all pages are present	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
7.	Supplemental information is attached to the original record and identifiable to the original.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
8.	When a record is of poor quality (i.e., wrinkled, torn, illegible) but is the ONLY copy, BEST AVAILABLE COPY appears in the record, initialed and dated.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
9.	Record errors have been lined through once. The correction and dated initial of the individual making the correction does not obliterate the prior entry.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
10.	A highlighting marker has not been used on the record in such a manner as to obliterate the text.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
11.	PDCO or Records Management Designee has stamped the first page with the "Date Received" stamp.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
12.	Special processed record(s) (radiographs, photographs, negatives, and microfilm) which are light/pressure/temperature sensitive are packaged for safe storage.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
13.	The record has been authenticated (i.e., signed and dated in permanent ink) by authorized personnel.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
14.	Electronic and video data is legibly labeled.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
15.	The record has been entered into the Waste Records Center database.	YES <input type="checkbox"/>	NO <input type="checkbox"/>	

Records Review Performed By: _____

Signature

Date

BARCODE # _____

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